

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of	)	Group Art Unit: Unknown
Peter J. Hopper et al.	)	Examiner: Unknown
Application No. New	)	INFORMATION DISCLOSURE
Filed: Herewith	)	<u>STATEMENT</u>
For: VERTICAL MOS TRANSISTOR	)	
	)	
	)	
	)	

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith information of which applicants are aware, which applicants believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

This Information Disclosure Statement:

- (a) ☒ accompanies the new patent application submitted herewith. 37 CFR § 1.97(a).
- (b) ☐ is filed within three months after the filing date of the application or within three months after the date of entry of the national stage of a PCT application as set forth in 37 CFR § 1.491.
- (c) ☐ as far as is known to the undersigned, is filed before the mailing date of a first Office Action on the merits.

(d) ☐ is filed after the first office action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned, prior to the mailing date of either a final rejection or a notice of allowance, whichever occurs first, and is accompanied by either the fee (\$180) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below.

(e) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, whichever occurred first, and is accompanied by the fee (\$180) set forth in 37 CFR § 1.17(i)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

[If either of boxes (d) or (e) are checked above, the following "certification" under 37 CFR § 1.97(e) may need to be completed.] The undersigned certifies that:

(f) ☐ Each item of information contained in the information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

(g) ☐ No item of information contained in this information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this information disclosure statement.

A list of the patent(s) or publications(s) is set forth on the attached Form PTO-1449 (Modified). A copy of the items on PTO-1449 (Modified) is supplied herewith:

(h) ☒ each            (i) ☐ none            (j) ☐ only those listed below:

Those patent(s) or publication(s) which are marked with an asterisk (\*) in the attached form PTO-1449 (Modified) are not supplied because they were previously cited by or submitted to the Office in a prior application no. \_\_\_\_\_ filed \_\_\_\_\_ and relied upon in this application for an earlier filing date under 35 U.S.C. § 120.

A concise explanation of relevance of the described above and attached information is:

(k) ☒ not given

(l) ☐ given for each listed item

(m) ☐ given for only non-English language listed item(s) [Required]

(n) ☐ is in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references [copy attached].

While the information disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that the

information referred to is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR § 1.98 and MPEP § 609 and the Examiner is respectfully requested to consider the above-described and attached information.

Respectfully submitted,

Dated: 12-4-03

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Atty. Docket No: 100-23700 (P05749)

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<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary) <b>Express Mail Number</b> <u>EV342470635US</u>	Docket Number (Optional) <b>100-23700 (P05749)</b>	Application Number <b>New</b>
Applicant(s) <b>Peter J. Hopper et al.</b>		
Filing Date <b>Herewith</b>		Group Art Unit <b>Unknown</b>

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		U.S. Appln. 10/290,138		Padmanabhan et al.			11/06/02
		6,440,801 B1	08/27/02	Furukawa et al.	438	272	06/28/00
		5,578,850	11/26/96	Fitch et al.	257	329	01/16/96
		4,871,684	10/03/89	Glang et al.	437	31	10/29/87
		6,504,210 B1	01/07/03	Divakaruni et al.	257	344	06/23/00
		5,963,800	10/05/99	Augusto	438	212	06/17/96
		5,170,243	12/08/92	Dhong et al.	365	208	11/04/91
		6,337,497 B1	01/08/02	Hanafi et al.	257	306	05/16/97
		6,204,532 B1	03/20/01	Gambino et al.	257	329	10/05/99
		5,627,395	05/06/97	Witek et al.	257	350	11/02/95
		4,750,023	06/07/88	Shannon	357	23.3	06/05/87

**FOREIGN PATENT DOCUMENTS**

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

		H. Pein and James D. Plummer, "Performance of the 3-D PENCIL Flash EPROM Cell and Memory Array", IEEE Transactions on Electron Devices, Volume 42, No. 11, 1995, pp. 1982-1991.
		H. Pein and James D. Plummer, "A 3-D Sidewall Flash EPROM Cell and Memory Array", Electron Device Letters, Volume 14, (8), 1993, pps. 415-417.

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>	ATTY DOCKET NO. <b>100-23700 (P05749)</b>	SERIAL NO. <b>New</b>
	<b>Peter J. Hopper et al.</b>	
	FILING <b>Herewith</b>	GROUP <b>Unknown</b>

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,504,359	04/02/96	Rodder	257	329	01/06/95
	5,073,519	12/17/91	Rodder	437	180	10/31/90
	5,087,581	02/11/92	Rodder	437	41	10/31/90

**FOREIGN PATENT DOCUMENTS**

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*

			U. Simu et al., "Limits in Micro Replication of CVD Diamond By Moulding Technique", 1997, [online], [retrieved on 2003-11-16]. Retrieved from the Internet: <URL:http://www.angstrom.uu.se/solidstatephysics/joakim/limits.pdf>. pp. 1-11, (note page 5, column 2, lines 15-23).
			E. Hui et al., "Carbonized Parylene as a Conformal Sacrificial Layer", [online], [retrieved on 2003-11-16]. Retrieved from the Internet: <URL:http://www.bsac.eecs.berkeley.edu/archive/users/hvi-elliott/pdf/sacpaper.pdf>. pp 1-5 (unnumbered), (note page 2, Process Characterization, first paragraph).

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		Filing Date <b>Herewith</b>		Group Art Unit <b>Unknown</b>	
*EXAMINER INITIAL	<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>				
		G. Stemme, "Fabrication of MEMS", [online], [retrieved on 2003-11-16], Retrieved from the Internet: <URL:http://mmadou.eng.vci.edu/PDF%20Files/Stemme%20Fabrication.pdf>. pp. 1-9 (unnumbered), (note page 3.)			
EXAMINER		DATE CONSIDERED			
<p><b>*EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>					